

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Takahiro SUGIMOTO

Application No.: New U.S. Patent Application

Filed: May 14, 2001

Docket No.: 109460

For: METHOD AND APPARATUS FOR ESTABLISHING A SECURITY POLICY, AND  
METHOD AND APPARATUS FOR SUPPORTING ESTABLISHMENT OF  
SECURITY POLICY

INFORMATION DISCLOSURE STATEMENT

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of this non-CPA application, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.

Respectfully submitted,



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Form PTO-1449 (REV. 8-83)		US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. 109460	APPLICATION NO. New U.S. Patent Application	
INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)					
		APPLICANT(S) Takahiro SUGIMOTO			
		FILING DATE May 14, 2001	GROUP		
<b>U.S. PATENT DOCUMENTS</b>					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS
		09/690,901	10-2000	Takahiro SUGIMOTO	
<b>FOREIGN PATENT DOCUMENTS</b>					
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)</b>					
		COBIT steering Committee and Information Systems Audit and Control Foundation : COBIT Executive Summary 2 <sup>nd</sup> Edition (1998) ( <a href="http://www.isaca.org/execl.htm">http://www.isaca.org/execl.htm</a> )			
		ISO/IEC TR 13335-1-3 (GMITS) Technical Report (1996-1998)			
		GENERALLY-ACCEPTED SYSTEM SECURITY PRINCIPLES (GASSP) V2 (1999) ( <a href="http://web.mit.edu/security/www/gasspl.html">http://web.mit.edu/security/www/gasspl.html</a> )			
		Common Criteria V2 ( <a href="http://csrc.nist.gov/cc/ccv20/ccv2list.htm">http://csrc.nist.gov/cc/ccv20/ccv2list.htm</a> )			
		“The Information Security Maturity Grid” Timothy R. Stacey Information System Security p. 22 Summer 1996			
EXAMINER				DATE CONSIDERED	
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					